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Application Processing Division,
Customer Correction Branch****Telephone: (703) 308-1202
Facsimile: (703) 872-9306****MESSAGE****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE****In re Application of:****Jeff N. Maggioncalda et al.****Examiner:****Thomas A. Dixon****Art Unit:****3629****Serial No.: 09/904,707****Confirmation No.:****4572****Filed: July 12, 2001****For USER INTERFACE FOR A FINANCIAL
ADVISORY SYSTEM THAT ALLOWS AN
END USER TO INTERACTIVELY
EXPLORE TRADEOFFS AMONG INPUT
DECISIONS (as amended 12/30/02)****CERTIFICATE OF TRANSMISSION UNDER 37 CFR 1.8****I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING FACSIMILE TRANSMITTED TO THE UNITED STATES PATENT AND TRADEMARK
OFFICE VIA FACSIMILE NO. (703) 872-9306, ON: May 14, 2004.****Michelle L. Wyss****Attached Correspondence: 1) Request for Corrected Filing Receipt; and
2) Copy of the Replacement Filing Receipt with changes noted thereon.****IF YOU DO NOT RECEIVE ALL PAGES, PLEASE CALL OFFICE SERVICES AT 303/607-3900.****THIS TELECOPY IS INTENDED ONLY FOR THE USE OF THE PERSON TO WHOM IT IS ADDRESSED, AND MAY
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RETURN THE ORIGINAL MESSAGE TO US AT THE ABOVE ADDRESS VIA THE U.S. POSTAL SERVICE. THANK YOU.***Colorado Minnesota Iowa London Frankfurt Shanghai*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT
RECEIVED
CENTRAL FAX CENTER

MAY 14 2004

Atty. Docket No.: 59036-249737

In re Application of:

Jeff N. Maggioncalda et al.

Serial No.: 09/904,707

Filed: July 12, 2001

For: USER INTERFACE FOR A
FINANCIAL ADVISORY SYSTEM
THAT ALLOWS AN END USER
TO INTERACTIVELY EXPLORE
TRADEOFFS AMONG INPUT
DECISIONS (as amended 12/30/02)

Examiner: Thomas A. Dixon

Art Unit: 3629

Confirmation No.: 4572

OFFICIAL

CERTIFICATE OF TRANSMISSION

I HEREBY CERTIFY THAT this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage via first-class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on May 14, 2004.

FAEGRE & BENSON LLP

Michelle L. Wyss

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**REQUEST FOR
CORRECTED FILING RECEIPT**

Dear Sir:

It has been noted that the Replacement Filing Receipt dated February 20, 2004, regarding the above-referenced patent application, contains errors. Applicant respectfully requests correction to the following:

1. The correct Attorney Docket No. is:
59036-249737 (formerly 02821.P001XC)

2. The correct title of the pending application is:

**USER INTERFACE FOR A FINANCIAL ADVISORY SYSTEM
THAT ALLOWS AN END USER TO INTERACTIVELY
EXPLORE TRADEOFFS AMONG INPUT DECISIONS**

Atty. Docket No.: 59036-249737
Serial No.: 09/904,707

3. The city and state of residency for Inventor Ken Fine is:

San Carlos, CA

4. The correct domestic priority data claimed is:

This is a continuation of U.S. Patent Application No. 09/495,982, filed on February 1, 2000, that is currently pending, which is a continuation-in-part of U.S. Patent No. 6,021,397, issued on February 1, 2000.

A copy of the Replacement Filing Receipt reflecting the above-noted changes thereon is attached for your convenience. Applicant respectfully requests the issuance of a corrected filing receipt showing the change as noted above.

No fee is deemed necessary in connection with these corrections; however, should any fee be required, the Commissioner is authorized to charge our Deposit Account No. 06-0029 and notify us of the same.

Respectfully submitted,

FAEGRE & BENSON LLP



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Date: May 14, 2004

DNVR1 60265638 01



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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
09/904,707	07/12/2001	3629	2988	02021-P001XC 59036-249737	19	33	12

CONFIRMATION NO. 4572

REPLACEMENT FILING RECEIPT



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PATENT GROUP
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Date Mailed: 02/20/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Jeff N. Maggioncalda, Menlo Park, CA;
Christopher L. Jones, Redwood Shores, CA;
William F. Sharpe, Los Altos, CA;
Ken Fine, Residence Not Provided, *San Carlos, CA;*
Ellen Tauber, Palo Alto, CA;

Domestic Priority data as claimed by applicant

This application is a CON of 09/495,982 02/01/2000, which is a CIP of
6,021,397 issued on 02/01/2000

Foreign Applications

If Required, Foreign Filing License Granted: 08/15/2001

Projected Publication Date: Not Applicable

Non-Publication Request: No

Early Publication Request: No

Title

Preliminary Class
705

User interface for a financial advisory system *that allows an end user to interactively explore tradeoffs among input decisions*

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Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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